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May 8, 2000

**VIA HAND DELIVERY**

Assistant Commissioner for Patents  
Washington, D.C. 20231

Re: U.S. Patent Application Serial No.: 09/041,994  
Title: *A Transcriptional Coactivator of Steroid/Nuclear  
Receptors and Uses Thereof*  
Inventors: J. Don Chen and Hui Li  
Filed: March 13, 1998  
Attorney Docket No.: UMG-026 (formerly UMM-026)

Dear Sir:

I enclose herewith for filing in the above-identified application the following:

1. Supplemental Information Disclosure Statement;
2. Form PTO-1449;
3. Full copies of references (47) cited in the Form PTO-1449;
4. Check in the amount of \$240.00 (IDS Processing Fee); and
5. Mailroom postcard.

No additional costs are believed to be due in connection with the filing of this Information Disclosure Statement. However, please charge any necessary fees in connection with the enclosed statement to our Deposit Order Account No. 12-0080. *For this purpose, a duplicate of this sheet is attached.*

Respectfully submitted,  
LAHIVE & COCKFIELD, LLP



Peter C. Lauro, Esq.  
Registration No. 32,360  
Attorney for Applicant

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

**In re the application of:** J. Don Chen and Hui Li

**Serial No.:** 09/041,994

**Filed:** March 13, 1998

**For:** *A Transcriptional Coactivator of Steroid/Nuclear Receptors and Uses Therefor*

**Attorney Docket No.:** UMG-026 (formerly UMM-026)

**Group Art Unit:** 1646

**Examiner:** M. Pak

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***VIA HAND DELIVERY***

**Assistant Commissioner for Patents  
Washington, D.C. 20231**

**SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT**

Dear Sir:

This paper is submitted at least, in part, in response to the Office Action (Paper No. 11) mailed October 14, 1999. In paragraph 5 on page 4, the Office Action indicated that "[t]he information disclosure statement filed 10 February 1999 (Paper No. 6) fails in part to comply with the provisions of 37 CFR 1.97, 1.98 and MPEP § 609 because the list of references labeled AE-BP do not have a date in the form 1449".

Applicants submit herewith for the Examiner's consideration, a Supplemental Information Disclosure Statement in accordance with 37 CFR §1.97 and Form PTO-1449 listing publications and information of which Applicants and their attorney are aware. For each reference cited therein, a publication date is listed.

However, as submitted previously by Applicants in their Amendment and Response filed April 14, 2000, the "publication dates" listed for each of references AE-BP (*i.e.*, printouts of electronic GenBank database records) are the dates printed on the references enclosed

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herewith and correspond to the dates on which the cited records were either first made publicly available or revised. In the case of revised records, Applicants invite the Examiner's attention to the fact that earlier versions of such electronic records may have been available prior to the "publication" date appearing on the reference (and listed on the Form PTO-1449 submitted herewith). However, Applicants are unaware of the content of such earlier versions if such exist, and of the nature of the data added or revised with each revision of such electronic records.

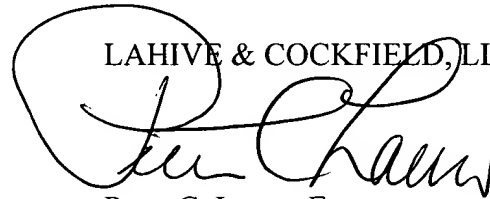
Applicants also note the following: (1) References AL-BP were listed on PTO Form 1449 attached to the Information Disclosure Statement previously submitted for the Examiner's consideration (*i.e.*, the Information Disclosure Statement filed February 10, 1999 (Paper No. 6)) but full copies of the references were not provided. Rather, a BLAST report was provided showing alignments of portions of the human RAC3 nucleotide sequence of the present invention with portions of EST sequences described in references AL-BP. For the Examiner's convenience, a full copy of each reference AL-BP is submitted herewith. (2) The BLAST report previously provided is listed as reference BR on the PTO Form 1449 attached hereto and a copy of the report is enclosed. Also enclosed is a report of a BLAST search of the Non-Redundant GenBank/EMBL/DDBJ/PDB databases using the human RAC3 nucleotide sequence of the present invention (reference BS). All publications cited on the attached PTO Form 1449, whether previously provided or not, are enclosed for the Examiner's convenience.

This statement is not to be interpreted as a representation that the cited publications are material, that an exhaustive search has been conducted, or that no other relevant information exists. Nor shall the citation of any publication herein be construed *per se* as a representation that such publication is prior art. Moreover, Applicants understand that the Examiner will make an independent evaluation of the cited publications.

Inasmuch as certain of the references cited in this Information Disclosure Statement are being submitted after October 14, 1999, the mailing date of the first Office Action in the instant application, enclosed is a check for **\$240.00** (fee for Submission of IDS pursuant to 37 CFR §1.97(c)(2) and §1.17(p)) for the processing of this Supplemental Information Disclosure Statement.

Respectfully submitted,

LAHIVE & COCKFIELD, LLP

A handwritten signature in black ink, appearing to read "Peter C. Lauro", is written over the firm name.

Peter C. Lauro, Esq.  
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Date: **May 8, 2000**